



FORM PTO-1449	SERIAL NO. 09/896,061	CASE NO. 11927/90
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	FILING DATE June 29, 2001	GROUP ART UNIT 3692
(use several sheets if necessary)	APPLICANT(S): D. Schmitz et al.	

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	
PP	B1	SEC Notice, Release No. 34-51107, SR-CBOE-2004-75, Federal Register Vol. 70, No. 23, dated Friday, February 4, 2005, pgs. 6051-6057
	B2	PCS Plus The Pacific Exchange, PCX Plus Overview, October 9, 2003, six pages
	B3	Evans et al. "The Effects of Electronic Trading System On Open-outcry Commodity Exchange", Social Science 410, November, 1998
	B4	Wang, G. et al. "Information Transmission and Electronic Versus Open Outcry Trading Systems: An Intraday Analysis of E-Mini S&P 500 Futures, S&P 500 Index Futures and S&P 500 Cash Index", paper presented in Thailand on December 3-4, 2001
	B5	Tsang, R. "Open outcry and electronic trading in futures exchanges", Bank of Canada Review, Spring 1999, pp 21-39
	B6	Elind Computers Private LMTD, "Online Global Trading System for Marketplaces", brochure, dated 2002
	B7	C. Danis, et al. "Alternatives to an Open Outcry Market: An Issue of Supporting Cooperation in a Competitive Situation", IBM TJ Watson Research Center, USA, believed to have been published prior to April 24, 2003
	B8	Clemens et al., "Segmentation, differentiation, and flexible pricing: Experiences with information technology and segment-tailored strategies", Journal of Management Information Systems: JMIS, Vol. 11, No. 2, pp 9-36, Fall 1994
	B9	"Squeezing the poor", Guardian, p8, Feb. 11, 1997
	B10	"La libre competencia sacude a las electricas", Actualidad Economica, p. 18, Sept. 30, 1996
	B11	Souter, Gavin, "Bermuda's reinsurers eager to please", Business Insurance, Vol. 28, No. 44, p. 77, October 31, 1994
	B12	"The Electronic Component", The Options Institute Online Learning Center, obtained at the internet address: <a href="http://www.cboe.com/LearnCenter/cboeeducation/Course_02_02/mod_02_03.html">http://www.cboe.com/LearnCenter/cboeeducation/Course_02_02/mod_02_03.html</a> dated 2003
PP	B13	"Self-Regulatory Organizations; Notice of Filing of Proposed Rule Change and Amendment No. 1 Thereto by the Pacific Exchange, Inc. Relating to the Exchange's New Trading Platform for Options, PCX Plus", 67 Fed. Reg. 69,580 – 69, 592 (Nov. 18, 2002)

EXAMINER F P. IN. 11	DATE CONSIDERED 5/9/07
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.